



The United States Agency for International Development

UNITED STATES AGENCY FOR INTERNATIONAL DEVELOPMENT

BUREAU FOR HUMANITARIAN RESPONSE

OFFICE OF FOOD FOR PEACE

DEVELOPMENT PROGRAMS TEAM

FINAL

P.L. 480 TITLE II GUIDELINES

FOR

FISCAL YEAR 1999 ANNUAL RESULTS REPORTS

January 28, 2000

ANNUAL RESULTS REPORT SUBMISSION AND REVIEW PROCESS

I. Purpose

The Title II Annual Results Report provides meaningful results-oriented information to assist Cooperating Sponsors (CSs), U.S. Agency for International Development (USAID) Missions, and the Bureau of Humanitarian Assistance Office of Food for Peace (BHR/FFP) in demonstrating the impact of Title II food aid on food security. It serves as an important information source during preparation of CS Fiscal Year (FY) 2001 annual updates (PAAs), new Development Activity Proposals (DAPs), Mission and FFP Results Review and Resource Requests (R4s), and USAID's annual report to Congress. The Title II CS Annual Results Report is to focus on the food aid activity's performance indicators and progress towards the achievement of results. It will also include a summary of anticipated resource requests for FY 2001 (which will be further elaborated on in the FY 2001 Previously Approved Activity (PAA) Submission or DAP Amendment). CSs are requested to follow the guidelines below.

II. Submission Date

CSs should submit one copy of their FY 1999 Title II Annual Results Reports to USAID Missions (or to US diplomatic post or other structure if non-Mission countries) no later than January 30, 2000. USAID Missions may request an alternative submission date to correspond with the preparation of the USAID Mission R4. CSs should submit four copies to BHR/FFP no later than March 1 for all programs.

III. Review Process

Reviews of the CS Annual Result Report are an important complement to the follow-on DAP and PAA review. USAID Missions are responsible for the initial review of the CS Annual Results Report. If the Mission R4 has not been submitted to USAID Washington by March 1, 2000, Missions are required to comment via cable on the Annual Results Report by this date. In either the R4 or the cable, the Mission must provide any necessary clarifications to a CS's Annual Results Report along with Mission assessments of its accuracy and completeness. For programs operating in countries in Africa without a USAID presence, the CS should contact BHR/FFP for information regarding which Mission in the region will assume this responsibility.

IV. Submission Length

The Title II Annual Results Report should be thorough yet concise. Reports should total no more than 10 pages for programs with two or fewer program objectives (includes intermediate objectives) and no more than 18 pages for programs with three or more program objectives (including intermediate objectives), excluding annexes. Repetition of narrative information already presented in the relevant approved Development Activities Proposal (DAP) or Previously Approved Activity (PAA) document is unnecessary. Reference should be made to any sections of a FY 1999, 2000, or 2001 DAP or PAA which are relevant to an issue or point being addressed in the Results Report (including page number and/or section references).

INSTRUCTIONS FOR CS PREPARATION OF ANNUAL RESULTS REPORTS

I. Annual Results

A. Results

Briefly discuss progress to date or results achieved over the life-of-activity (FY 1999 and prior years encompassed by the currently operative DAP approval), including the role of the Section 202(e) grant (if a grant was utilized during the life of the activity), with particular emphasis on results obtained by FY 1999. Also present anticipated results for FYs 2000-2002 in terms of your chosen performance indicators and/or Title II Generic Indicators. This information should be presented using the table format provided in **Appendix A**.

A good performance assessment will 1) describe progress over the past year relative to planned results as reflected

by the objective's indicators, baselines and targets; 2) state explicitly whether progress met, exceeded or fell short of expectations toward achievement of the objective; 3) interpret significant trends and highlight differences between planned and actual performance; 4) identify reasons for performance shortfalls or greater than expected results; and, 5) describe the methods used to measure the performance indicators. In cases where up-to-date performance indicator data are not available because of the timing of data collection, you should provide other evidence of progress toward achieving targets.

This part of the report should also include information on evaluation findings, customer (participant/beneficiary) feedback results, or other evidence of progress toward achievement of targets that support a balanced assessment of progress for each objective.

Some examples of key questions to consider are as follows:

- What circumstances led to exceeding or falling short of expected targets? Were targets too high or too low? If so, why?
- Have key assumptions changed?
- How did customer (participant/beneficiary) feedback influence the CS's thinking on accomplishing the objective? Did this feedback confirm the program is on track, or are there issues which must be addressed?
- How have inter-sectoral partnering (among non-governmental organizations and governmental actors), and changes in the institutional and policy framework to stimulate community initiative influenced program management?
- What is the significance of what is being accomplished (e.g., what is the food security impact of improved water and sanitation infrastructure, service and practices for the affected 1000 households and the region or country as a whole)?

B. Monitoring, Evaluation, Audits, and Studies

1. Provide a brief update on the monitoring and evaluation system established for your program, its design and how it measured the results presented. State specifically how the baseline data were established, and whether baseline data collection is complete; how performance indicators are being monitored; how impact indicators are being, or will be, evaluated; the sample size and sample frame; and the personnel involved in the monitoring and evaluation effort. Include questionnaires used as attachments. Note whether you are collaborating with other CSs in establishing joint or coordinated monitoring and evaluation systems and/or sharing information the information generated.

Note: If your monitoring and evaluation plan has been modified since the previous year, include the revised plan as an attachment.

2. Describe any evaluations, audits, and studies conducted during FY 1999. State the purpose, the funding sources, the time period covered, the individuals and/or organizations involved, and the participation of Title II beneficiaries in the evaluations, audits, and studies. Attach as an annex a summary of the key findings or recommendations of the evaluations, audits, or studies conducted in FY 1999 (i.e., a copy of the executive summary). Provide the status of any outstanding recommendations from FY 1999 and/or previous years, if any. If a copy of an evaluation or study has not already been submitted to BHR/FFP, please attach a copy.

C. Monetization Sales (if applicable)

This section fulfills the requirements of Regulation 11 that CSs submit an annual report on monetization and program income activities. A separate annual monetization and program income report is not necessary, as, pursuant to the authority granted him in 22 CFR 211.12 (Regulation 11), the Acting Assistant Administrator/BHR is waiving the following sentence in 22 CFR 211.5(l), *"This annual report should be submitted to AID/W by December 31 of each calendar year for the fiscal year ending September 30 of that calendar year."* to the extent that it conflicts with this guidance with regard to the timing of reports.

1. Provide a detailed analysis of the monetization transaction(s) that the CS was party to during FY 1999. The analysis should include the following: date of each commodity sale; country where the sale took place and beneficiary country, if different; type of commodity and amount (in MT) monetized; sales method (tender bid, auction, negotiated sale); sales price per MT obtained; amount in U.S. dollars of foreign currency generated; and

comparison of the actual sales price to the Cost Recovery Benchmark. The applicable Cost Recovery Benchmark for DAPs or PAAs approved prior to January 1, 1998 is that defined in the **draft Monetization Field Manual, dated April 30, 1997, Implementation Guidelines Section I.C.** *"80% of the C&F value, as quoted by FFP at the time of the call forward, plus port clearing and handling costs and duties, estimated transport costs to move the commodity to the point of sale, and expenses associated with marketing the commodity."* The applicable Cost Recovery Benchmark for DAPs or PAAs approved after January 1, 1998 is defined, as follows, in the final version of the **Monetization Field Manual Implementation Guidelines Section I.C.** *"80% of the C&F value, using the FAS quotation provided by FFP at the time of the call forward, the foreign flag rate, plus port clearing and handling costs and duties, estimated transport costs to move the commodity to the point of sale, and expenses associated with marketing the commodity, or 100% of FAS, whichever is greater."*

2. Discuss how the monetization proceeds were used. Also discuss the outcome of the monetization transaction(s) in terms of anticipated and unanticipated effects on local, regional or national production, and marketing of the monetized commodity or its substitutes. Note whether the timing of the sale corresponded with the agricultural crop and market cycles in order to obtain the best sales price. Describe the methodology that CS is using to ensure that the value of monetized proceeds does not diminish due to currency fluctuations and/or devaluation.

II. Resource Analysis and Requests

A. FY 1999 Expenditure Report and Narrative

1. Prepare a comprehensive report of actual expenditures during FY 1999. Report on expenditures by Title II activity. Utilize the same comprehensive budget reporting format as presented in your DAP to report opening and closing balances by funding source, and compare budgeted to actual line-item expenditures. A sample is provided in **Appendix B**. Amounts should be denominated in U.S. dollars. For foreign currency line items that have been translated into U.S. dollars, state the exchange rate used and an explanatory note regarding the choice of exchange rate, including the date it was obtained, the time period it reflects or other relevant information to place it into context.

2. Provide a brief explanation of significant line-item deviations from the FFP-approved budget. If there was a shortfall in funding (particularly foreign currency from monetization) during FY 1999, discuss the activities affected, the impact of the shortfall on the achievement of objectives, and how the shortfall was covered.

3. Present a table providing an estimated break-out of the FY 99 actual expenditure totals of each horizontal funding category of the original DAP comprehensive budget (e.g. monetization, Section 202(e), USAID funds, PVO funds, total) from (1) above, by objective/technical area, as well as total commodity tonnages for each objective/technical area. See the Supplemental Reporting Format in **Appendix C**.

B. FY 1999 Monetization Pipeline Analysis

For each activity supported by Title II monetization, provide a pipeline analysis of foreign currency funds. CSs should report this information using the Results Report Pipeline Analysis worksheet provided in **Appendix D**.

C. FY 1999 Commodity Pipeline Analysis

Attach as an annex the FY 1999 Fourth Quarter Commodity Status and Recipient Status Report (CSR/RSR) and Loss Report, along with a summary of CSR/RSR data for the full FY 1999.

D. FY 2000, 2001 & 2002 Budget Revisions and Resource Requirements

If changes to the original FY 2000, 2001, 2002 budgets are required or envisioned, prepare ESTIMATES for the revised comprehensive budget total (all sources of funding) and for the revised monetization budget and 202(e) budgets (if applicable) using **Appendix E**. Further detail will be anticipated in the PAA or DAP Amendment submission document. Also present a table showing revised commodities and tonnages by the Annual Estimate of Requirement's (AER) category for each program activity (see sample format in **Appendix F**). If this Results Report is being submitted simultaneously with a Previously Approved Activity (PAA) submission (annual funding request for previously approved multi-year program) refer to the appropriate sections of the PAA.

E. Future New Submissions (*pertains only to DAPs/PAAs ending in FY 2000 and FY 2001*):

Briefly summarize plans to submit follow-on Title II proposals for FY 2001 or FY 2002, including any anticipated

changes in activity and/or resource requirements, discussions between your staff and the USAID Mission on planned activities, and whether and/or how the activity supports one or more of the objectives under the Mission's strategic plan for the country. For new activities, attach a table showing the commodities and tonnages, by AER category, for each activity, along with any Section 202(e) funding, that you plan to request.

APPENDIX A

Title II Indicator Performance Tracking Table

APPENDIX B

Comprehensive Comparison Budget Format

APPENDIX C

Supplemental Reporting Format and Commodity Use Worksheet

APPENDIX D

Foreign Currency (Monetization) Pipeline Analysis Format

APPENDIX E

Comparison Budget Sample

APPENDIX F

LOA Commodity Requirement Worksheet Format

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Title II Guidelines for FY 1999 Results Reports

Appendix A Indicator Performance Tracking Table

Indicator	Base-line	FY x Target	FY x Achieved	FY x % Achieved vs Target	FY x+1 Target *	FY x+1 Achieved	FYx+1% Achieved vs Target	FY x+2 Target *	FY x+2 Achieved	FYx+2% Achieved vs Target	FY X+3 Target *	FY x+3 Achieved	FYx+3% Achieved vs Target	FY x+4 Target *	FY x+4 Achieved	FY x+4 [*] Achieved vs Target	LOA Target	LOA Achieved
Component 1 Impact Indicator 1																		
Component 1 Impact Indicator 2																		
Component 1 Monitoring Indicator 1																		
Component 1 Monitoring Indicator 2																		
Component 2 Impact Indicator 1																		
Component 2 Impact Indicator 2																		
Component 2 Monitoring Indicator 1																		
Component 2 Monitoring Indicator 2																		

* Targets which have been changed since the original approved DAP should be noted with an asterisk

Note: Annual monitoring indicators should be reported on each year. Impact indicators need only be reported on those years determined by the CS as appropriate by the CSs monitoring and evaluation plans. CSs may adjust indicators or targets as needed over the life of the DAP, for example if they are found to be inappropriate or targets set too high or low, although clear explanations should be provided.

Title II Guidelines for FY 1999 Results Reports

Sample Format - Comprehensive Budget Comparison for FY 1999 (US\$)

Appendix B

US \$1 = _____ local currency using exchange rate of _____ (date)

Funding Sources																				
Consolidated Line Items	Monetiz'n Proceeds	Monetiz'n Proceeds	Section 202e Grant	Section 202e Grant	Recipient Contrib'n	Recipient Contribut'n	Sale Empty Containers	Sale Empty Containers	PVO Funds (Private)	PVO Funds (Private)	Other USAID (Specify)	Other USAID (Specify)	Title III	Title III	Other Donor	Other Donor	Local Gov't	Local Gov't	TOTAL	TOTAL
	Approved	Actual	Approved	Actual	Approved	Actual	Approved	Actual	Approved	Actual	Approved	Actual	Approved	Actual	Approved	Actual	Approved	Actual	Approved	Actual
FY 99 Opening Balance																				
FY 99 Income-new funds																				
FY 99 income-interest																				
Total FY 99 Income																				
Funds Avail. in FY 99																				
Expenses																				
Personnel																				
Office Administration																				
Communications																				
Supplies/Materials																				
Vehicle Exp/Maint																				
Procurement																				
Travel																				
Transportation																				
Monitoring/Evaluation																				
Training																				
etc.																				
sub-total																				
NICRA																				
FY 99 Total Expenses																				
FY 99 Closing Balance																				

Notes: Consolidated line items above are EXAMPLES, not required categories - line items should match those presented in your original DAP
Columns not utilized should be deleted from your table.

Title II Guidelines for FY 1999 Results Reports

Appendix C

Sample Format - Supplemental Reporting Format (US\$) and Commodity Use Worksheet

Funding Sources										
	(\$)	(\$)	(\$)	(\$)	(\$)	(\$)	(\$)	(\$)	(\$)	(MT)
Program Objective /Technical Area *	Monetization Proceeds	Section 202(e) Grant	Recipient Contributions	Sale of Empty Containers	PVO Private Funds	Other USAID (Specify)**	Other Donor	Local Gov't	Total Actual Expen.	Commodity Use
FY 99 Resources										
Agricultural Productivity (list interventions by objective/technical area)										
Total Agric. Productivity										
Household Nutrition (list interventions by objective/technical area)										
Total Household Nutrition										
FY 1999										
Total Actual Resource Use										

* Technical areas:

1) health and nutrition, 2) water and sanitation,
3) agriculture, natural resource mgmt. and infrastructure,
4) education, 5) micro-credit, 6) other (state)

note: child or institutional feeding programs without significant health components should be included in "other"

** e.g., Title III, Mission funding, etc.

(Complete only if end of DAP)

Title II Guidelines for FY 1999 Results Reports

Appendix D

FY 1999 Results Report Pipeline Analysis Format for Monetization (Foreign Currency)

COUNTRY/PVO

ACTIVITY:

	foreign currency	exchange rate	US dollar equivalent
1. Opening balance at 10/1/98 of funds from prior year(s) monetization, including interest			
2. Total actual funds received from monetization during FY 99 (FY 98 (prior year) APPROVED COMMODITIES) (FY 99 (last year) APPROVED COMMODITIES)			
3. Interest earned during FY 99			
4. Total actual expenditure of monetization funds during FY 99			
5. Actual closing balance of monetization funds at 9/30/99			
6. Amount of reserve/bridge funding needed to support program operations until FY 00 monetization sale(s)			

Note: state cut-off date between actual and anticipated/estimated receipts and expenditures

Title II Guidelines for FY 1999 Results Reports

Appendix E Comparison Budget Sample

Category	DAP	PAA	Difference	Percent	Explanation
	(FY ____ - ____)	(FY ____)	(PAA-DAP)	(Diff/DAP)	
Personnel	\$163,815	\$163,815	\$0	0.00%	
Office Administration	\$11,005	\$14,200	\$3,195	22.50%	
Communications	\$5,000	\$4,295	(\$705)	-16.41%	
Supplies/Materials	\$10,999	\$10,000	(\$999)	-9.99%	
Vehicle Exp./Maint.	\$125,000	\$150,090	\$25,090	16.72%	
Procurement	\$49,000	\$49,000	\$0	0.00%	
Travel	\$88,000	\$60,000	(\$28,000)	-46.67%	
Transportation	\$7,590	\$8,000	\$410	5.13%	
Monitoring/Evaluation	\$50,000	\$50,000	\$0	0.00%	
Training	\$15,000	\$12,999	(\$2,001)	-15.39%	
Sub-Total	\$525,409	\$522,399	(\$3,010)	-0.58%	
NICRA 9%	\$47,287	\$47,016	(\$271)	-0.58%	
FY Total Expenses	\$572,696	\$569,415	(\$3,281)	-0.58%	

Note: Comparisons should always be made against the most recently APPROVED levels.

Title II Guidelines for FY 1999 Results Reports

Appendix F

Life of Activity COMMODITY REQUIREMENT WORKSHEET (by AER category)

COUNTRY:

COOP. SPONSOR:

AER Category	Commodity	FY x Line 8	FY x+1 Line 8	FY x+2 Line 8	FY x+3 Line 8	FY x+4 Line 8
Category 1						
<i>Beneficiaries (n/a for monet.)</i>						
Category 2						
<i>Beneficiaries (n/a for monet.)</i>						
Category 3						
<i>Beneficiaries (n/a for monet.)</i>						
etc.						
<i>Beneficiaries (n/a for monet.)</i>						
<i>Beneficiaries (n/a for monet.)</i>						
<i>Beneficiaries (n/a for monet.)</i>						
TOTAL (MT)						
TOTAL (Beneficiaries)						

LOA = life-of-activity

AER categories = MCH, OCF, SF, FFW, GR, Monetization, etc.